

Naval Inspector General



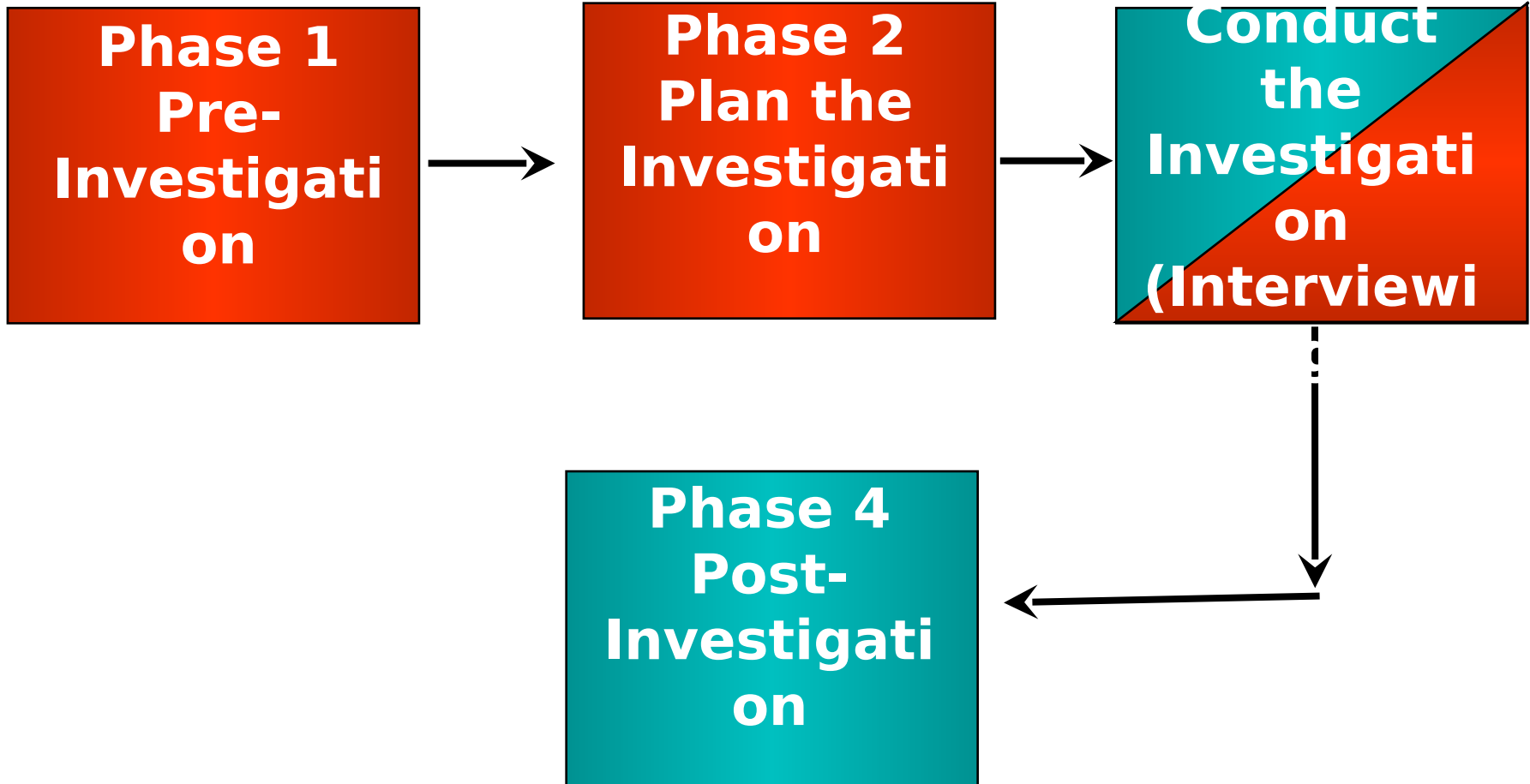
Washington Navy Yard, DC



Conscience of the Navy...Making a Difference!



Phase 3: Conduct the Investigation Complaint Resolution Procedure





Naval Inspector General Complaint Resolution Procedure

Phase 1: Pre-Investigation

Receive the Complaint
Analyze the Complaint
Draft the Allegation(s)
Determine the Action
Notify the Complainant

Phase 2: Plan the Investigation

Assign the IO
Mentor the IO
**Prepare & Maintain the
Plan**

Phase 3: Conduct the Investigation

Gather Information
Interview
Write the Report

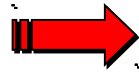
Phase 4: Post-Investigation

**Conduct Quality Review of the
Report**
Notify Complainant & Subject
**Prepare the Case File for
Closing**



Phase 3: Conduct the Investigation Complaint Resolution Procedure

Phase 3:
Conduct the
Investigation
(Interviewing)



Interviewing Goals

Interview Plan

Sensitivity and Privacy

Five Interview Phases

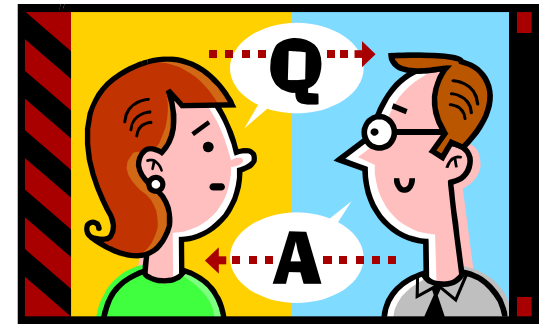
Common Problems



Interviewing Goals

Interviewing Goals

- Establish rapport
- Emphasize that you seek only the truth
- Listen attentively
- Evaluate the interviewee's responses to questions carefully
- Take good notes
- Remain objective and unemotional





Phase 3: Conduct the Investigation Complaint Resolution Procedure



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Common Problems



Fact Finding

■ Interview Plan Lists

- Interviewees
- Order of the interviews (include time)
- Category of interviewees (complainant, witness, subject)
- Allegations that pertain to each interviewee
- Questions you intend to ask





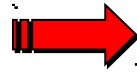
Fact Finding

Interview Plan

- Type of Interview
- Physical and Psychological Factors
- Questioning Techniques
- Topic Outline
- Number of Interviewers
- Recording
- Rights and Responsibilities



Phase 3: Conduct the Investigation Complaint Resolution Procedure



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Common Problems



Fact Finding

Sensitivity and Privacy

- Inquire discreetly
- Gather documents from complainant or subject **1st** if they prove / disprove allegations
- Gather documents pertaining to **various** command personnel
- Explain Privacy Act rights





Phase 5: Conduct the Investigation

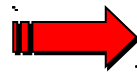
Complaint Resolution Procedure



Interviewing Goals

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Sensitivity and Privacy



Five Interview Phases

Common Problems



Five Interview Phases





Fact Finding Five Interview Phases

Five Interview Phases

- Phase 1: Introduction
 - Phase 2: Build Rapport
 - Phase 3: Questioning
 - Phase 4: Summarize
 - Phase 5: Close



Introduction

- Introduce yourself
- Identify the office you represent
- Produce credentials or tasking / appointing letter
- Confirm interviewee is the right person



Introduction

- Explain the purpose of the interview
- Explain what to expect during the interview
- Explain and execute a Privacy Act statement



Build Rapport

- Greet the interviewee with a handshake



- Use voice inflection, gestures, and facial expressions to set the tone
- Use neutral terms - no editorial comments



Build Rapport

- Use non-threatening mannerisms and body language
- Express empathy or sympathy, when appropriate
- Treat interviewees with dignity and respect





Questioning

- Free-narrative or open-ended questions
- Direct examination or direct questions
- Cross-examination questions





Questioning

- **Receive the answer**
 - Listen carefully
 - Keep an open mind
 - Paraphrase responses
 - Concentrate on what the interviewee is saying
 - Maintain control of the interview



Questioning

- **Receive the answer**
 - Summarize key points
 - Listen with minimal interruptions
 - Use silence to force a response
 - Keep your talking to a minimum
 - Use gestures and eye contact to encourage responses
 - React to disclosures appropriately



Questioning

- **Evaluate the Answer**
 - Test the accuracy of information
 - Keep the interviewee focused
 - Fill in missing details with direct questions
 - Use cross-examination questions
 - Re-interview the subject (if necessary)



Questioning

Record the answer

- Method of interview
 - Names of attendees
 - Purpose, place, date, time, phone numbers
-
- Take detailed, factual, objective, concise, clear, and complete notes
-
- Include questions and responses in tape-recorded interviews





Questioning

- **Record the answer**
 - Review notes during interview
 - Retain notes / tapes until case is closed
 - Use quotation marks with interviewee's quote
 - Ask interviewee to initial the quote when you conclude the interview





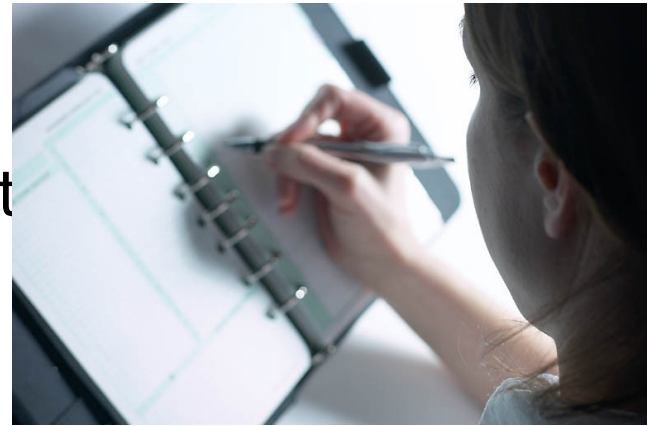
Questioning

- **Four methods of recording an interview**
 - Sworn Statement or Declaration
 - Verbatim or tape recording
 - Results of Interview (Record of Interview)
 - Video Teleconference Interviews



Summarize

- Summarize the salient parts of the interview
- Review notes with interviewee to
 - Clarify or add information
 - Allow second investigator to ask questions
 - Ensure all information is accurate





Close

- Ask the **complainant** what he / she expects from the investigation
- Ask **interviewees** if you should interview anyone else and why
- Thank **interviewees** for cooperating
- Advise **interviewees** regarding whistleblower protection



Close

- Give **interviewee** your contact information
- Explain that **interviewees** have no inherent right to know the outcome
- Advise **interviewees** about requesting IR under the Freedom of Information Act



Out brief Management

- Notify senior management that you have completed interviews and/or the investigation
- Use the template to outbrief management officials



Phase 3: Conduct the Investigation Complaint Resolution Procedure

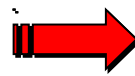


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Common Problems



Common Problems

1. Uncooperative commands
2. Refusal to comply
3. Intimidation
4. Requests for other attendees at an interview
5. Losing impartiality
6. Reprisal
7. Requests for advice from interviewees



Anything else?

The key to successful interviewing is to create an interview plan and to rehearse your questions.



Phase 3: Conduct the Investigation Complaint Resolution Procedure

**Conduct the
Investigation
(Interviewing)
Completed!!**

Interviewing Goals

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**Sensitivity and
Privacy**

**Five Interview
Phases**

Common Problems



Naval Inspector General

Questions??